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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gary L. Gastineau, et al Art Unit : Unknown
Serial No. : 09/815,589 Examiner : Unknown
Filed : March 23, 2001
Title : HEDGING EXCHANGE TRADED MUTUAL FUNDS OR OTHER
PORTFOLIO BASKET PRODUCTS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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PRELIMINARY AMENDMENT

Prior to examination, please amend the application as indicated on the following pages.

10/17/2003 EAREGAY1 00000136 09815589

01 FC:1201 172.00 OP
02 FC:1202 594.00 OP

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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